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 01/10/02 1040 U.S. PTO 10/043816 01/10/02	UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional application under 37 C.F.R. § 1.53(b))	Attorney Docket No. IN-5270
	First Named Inventor Sunitha GRANDHEE	Filing Date Thursday, January 10, 2002
	Title HYDROXY AND CARBAMATE FUNCTIONAL RESINS	Express Mail Certificate ET332278536US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application, Washington, DC 20231
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
3. <input checked="" type="checkbox"/> Specification [Total Pages 35] -(preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Application - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the invention - Background of the invention - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identify of above copies
<input type="checkbox"/> Drawing(s) (35 U.S.C.113) [Total Sheets <input type="checkbox"/>] <input checked="" type="checkbox"/> Oath or Declaration [Total Sheets 02] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR § 1.63(d)) (for continuation/divisional with Box 17 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting	ACCOMPANYING APPLICATION PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input checked="" type="checkbox"/> 37 CFR§3.73(b) Statement <input checked="" type="checkbox"/> Power Of Attorney (when there is an assignee) 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/ PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> other:
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ **Continuation**
☐ **Divisional**
☐ **Continuation-in-part (CIP) of prior application No. 0 _____ filed on _____**

Prior application information: _____ **Examiner** _____ **Group/Art Unit:** _____

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. **CORRESPONDENCE ADDRESS**

☒ **Customer Number or Bar Code Label**

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 PATENT-TRADEMARK OFFICE

or ☐ **Correspondence address below**

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)	33,772	
Signature	<i>Anne G. Sabourin</i>		Date	January 10, 2002	


FEE TRANSMITTAL Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 2001		Attorney Docket No.	IN-5270	
		First Named Inventor	Sunitha GRANDHEE	
		Filing Date	Thursday, January 10, 2002	
		Title	HYDROXY AND CARBAMATE FUNCTIONAL RESINS	
		Express Mail Certificate	ET332278536US	

TOTAL AMOUNT OF PAYMENT		\$1,050.00
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METHOD OF PAYMENT 1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to change indicated fees and credit any over payments to: Deposit Account Number 23-3425 Deposit Account Name BASF Corporation <input checked="" type="checkbox"/> Change Any Additional Fee <input checked="" type="checkbox"/> Charge the Issue Fee Set in 37 CFR § Required Under 37 CFR §§ 1.16 and 1.17 1.18 at the Mailing of the Notice of Allowance 2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	FEE CALCULATION 3. ADDITION FEES <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge -late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>provisional ailing or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing request for examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890.</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petition to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>Petition related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>Submission of information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent Assignment per property (time number of properties)</td><td>\$40.</td></tr> <tr><td>146</td><td>790</td><td>Filing a submission after final rejection</td><td></td></tr> <tr><td>149</td><td>790</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>Other</td><td>fee</td><td>(specify) _____ Reduced By Basic Fee Paid Filing</td><td></td></tr> </tbody> </table>	Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	Surcharge -late filing fee or oath		127	50	provisional ailing or cover sheet		139	130	Non-English specification		147	2,520	For filing request for examination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month		117	890.	Extension for reply within third month		118	1,510	Extension for reply within fourth month		128	2,060	Extension for reply within fifth month		119	310	Notice of Appeal		120	310	Filing a brief in support of an appeal		121	270	Request for oral hearing		138	1,510	Petition to institute a public use proceeding		140	110	Petition to revive-unavoidable		141	1,320	Petition to revive-unintentional		142	1,320	Utility issue fee (or reissue)		143	450	Design issue fee		144	670	Plant issue fee		122	130	Petition to the Commissioner		123	50	Petition related to provisional application		126	240	Submission of information Disclosure Statement		581	40	Recording each patent Assignment per property (time number of properties)	\$40.	146	790	Filing a submission after final rejection		149	790	For each additional invention to be examined (37 CFR 1.129(b))		Other	fee	(specify) _____ Reduced By Basic Fee Paid Filing	
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1. BASIC FILING FEE	
Large Fee Code	Entity Fee (\$)
101	710 Utility filing fee
106	330 Design filing fee
107	540 Plant filing fee
108	790 Reissue filing fee
114	150 Provisional filing fee
SUBTOTAL (2) \$740.00	

2. EXTRA CLAIM FEES	
Total Claims 35 -20** = 15 x 18 = \$270.00 Independent Claims 03 - 3** = 0 x 80 = -0- Multiple Dependent 270 = *Or number previously paid, if greater; For Reissues, see below Large Fee Code Entity Fee (\$) 103 18 Claims in excess of 20 102 80 Independent claims in excess of 3 104 270 Multiple dependent claims, if not paid 109 82 **Reissue independent claims over original patent 110 22 **Reissue claims in excess of 20 and over original patent SUBTOTAL (2) (\$270.00)	Extra Claims Fee from below Fee Paid 15 x 18 = 270.00 0 x 80 = -0- 270 = 270.00

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Country	USA	Telephone	(248) 948-202	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)	33,772	
Signature	<i>Anne K. Sabourin</i>		Date	January 10, 2002	

PATENT

(Practitioner's Docket No. IN-5270)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Sunitha GRANDHEE

US Serial No. Herewith

Filed: January 10, 2002

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: HYDROXY AND CARBAMATE FUNCTIONAL RESINS

Patent*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20.231

STATEMENT UNDER 37 C.F.R. § 3.73(b)-
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
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37 C.F.R. § 1.8(a)

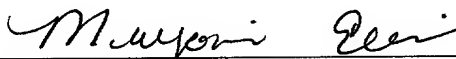
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Marjorie Ellis

Date: January 10, 2002

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

BASF CORPORATION

2. _____
Name of assignee
CORPORATION

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON(S) AUTHORIZED TO SIGN

3. Anne Gerry Sabourin, 33,772
(type name of person authorized to sign on behalf of assignee)
Managing Counsel
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel _____, Frame _____.
2. ☒ An assignment (document) separately being submitted for recordal herewith.

AND/OR

B.

1. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____

Name of inventor(s)

To: _____

Recorded in PTO:

Reel _____ Frame _____

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]--page 2)

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 33,772

Anne H. Sabourin
SIGNATURE OF ATTORNEY

Anne Gerry Sabourin
Type or print name of attorney

BASF Corporation
26701 Telegraph Road
P.O. Address

Southfield, Michigan 48034-2442

Tel. No.: (248) 948-2021

Customer No. 26922

20070909 09:48:40

PATENT

(Practitioner's Docket No. IN-5270)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Sunitha GRANDHEE

US Serial No. Herewith

Filed: January 10, 2002

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Group Art Unit: Not Assigned

Examiner: Not Assigned

Commissioner of Patents
Washington, D.C. 20231

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Marjorie Ellis

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PATENT

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Group Art Unit: Not Assigned

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Commissioner of Patents
Washington, D.C. 20231

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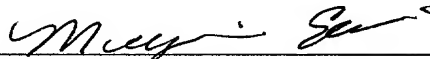
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Marjorie Ellis

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

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☒ Application
Specification on pages; claims on pages;
the abstract on page(s); drawings on page(s).

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Marjorie Ellis

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